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# User Manual

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The background of the central section is a detailed pencil sketch of a classical building with a series of tall, fluted columns and a pediment. The drawing is done in a fine-lined, cross-hatched style.

## CaseRite III

**Enforcement Case  
Preparation Software**



**Federal Motor Carrier Safety Administration  
U.S. Department of Transportation**

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FMCSA, Field Systems Group  
555 Zang Street  
Lakewood, CO 80228

updated:  
9/27/2000

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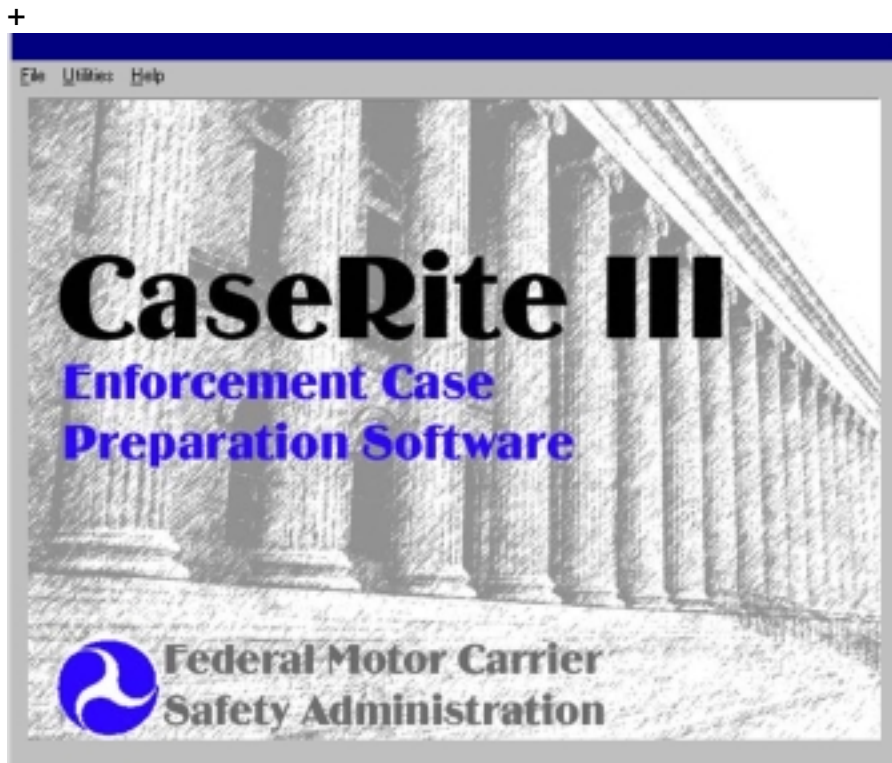
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# Getting Started

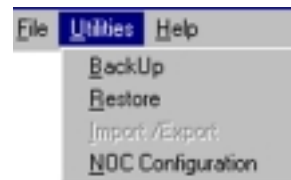
## *NOC Configuration*

Before using CaseRite III for the first time you must create a default Notice of Claim (NOC) configuration for your particular Division Office and Service Center. To create this default NOC configuration:

- ◆ Display the initial CaseRite III Screen.



- ◆ Select **Utilities** from the top-level menu.
- ◆ Select **NOC Configuration** from the drop down menu to display the **NOC Editor**.

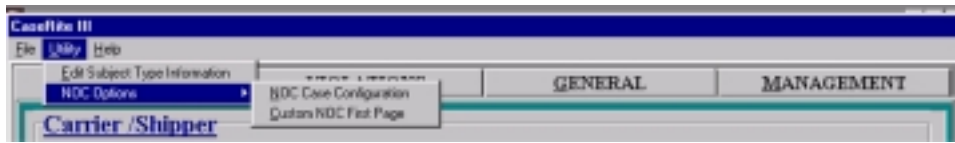


The NOC editor is divided into three sections, **LETTERHEAD**, **HOW TO REPLY** and **SERVICE LIST**. To enter the configuration information:

The screenshot shows the NOC Editor application window with three tabs: LETTERHEAD, HOW TO REPLY, and SERVICE LIST. The LETTERHEAD tab is active. It contains a dropdown menu for 'Western Service Center', a 'Main Phone' field with '303 969-5111', and a 'Fax' field with '303 969-5252'. To the right, there are fields for 'FEDERAL MOTOR CARRIER SAFETY AL', '201 Mission Street', 'Suite 2100', 'San Francisco, CA 94105', and 'MC-EFW-SV'. Below these fields is a large white box containing the U.S. Department of Transportation logo and the text: 'U.S. DEPARTMENT OF TRANSPORTATION', 'FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION', 'Western Service Center', '201 Mission Street', 'Suite 2100', 'San Francisco, CA 94105', '303 969-5111', '303 969-5252'. Below this box, it says 'Certified Mail/ Return Receipt Requested' and 'In Reply Refer To: MC-EFW-SV'. At the bottom, there is a 'SIGNATURE BLOCK' section with fields for 'Full Name' (John Dester), 'Title' (State Director), and 'Organization' (FMSCA).

- ◆ Click the Tab labeled **LETTERHEAD**.
- ◆ Select the appropriate Resource Center from the drop down list displayed by clicking the small arrow in the field located at the top left portion of the screen.
- ◆ Enter the name and title of the individual who will be signing the NOC in the appropriate fields at the bottom of the screen.
- ◆ Click the Tab labeled **How to Reply**.
- ◆ Enter the Contact, Contact Title and Contact Phone Number in the appropriate fields.
- ◆ Click the Tab labeled **Service List**.
- ◆ Enter Division Office information.
- ◆ Select **File** from the top-level menu.
- ◆ Click on **Save & Exit** to exit the NOC Editor and save all changes.

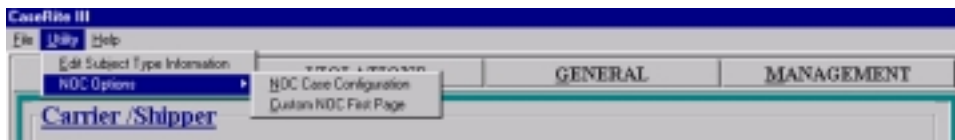
It is also possible to change the configuration of the claim letter for a specific Case without changing the default NOC information. If you wish to change the configuration information for a specific case only:



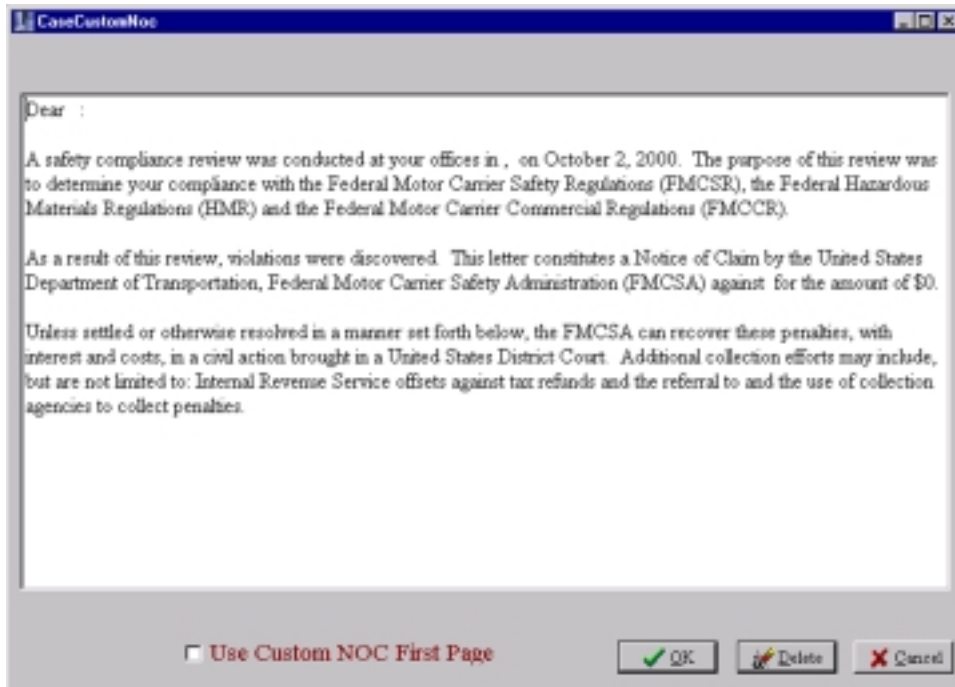
- ◆ Open the case.
- ◆ Select **Utility** from the top-level menu.
- ◆ Select **NOC Options**.
- ◆ Select **NOC Case Configuration** to display the NOC editor.

Additionally it is possible to edit the opening paragraphs of the NOC for a specific case through the Custom NOC Configuration utility. To edit the opening paragraphs of the NOC:

- ◆ Open the case.
- ◆ Select **Utility** from the top-level menu.
- ◆ Select **NOC Options** from the drop down menu.
- ◆ Select **Custom NOC First Page** from the drop down menu to display the opening paragraphs of the NOC.



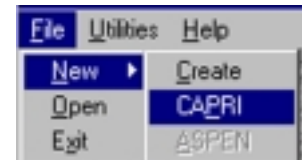
- ◆ Make the desired edits
- ◆ Check the box labeled **Use Custom NOC First Page**
- ◆ Click on **OK**



## Beginning a New Case

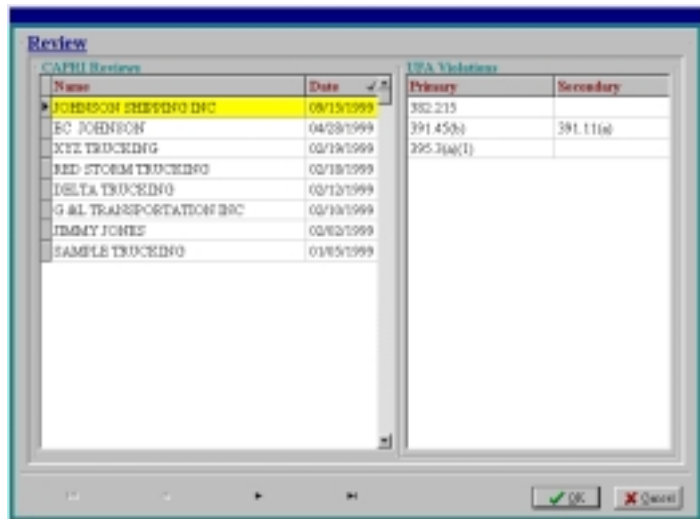
To begin a new case in CaseRite III:

- ◆ Display the initial CaseRite III screen.
- ◆ Select **File** from the top-level menu.



- ◆ Select **New**. This will display a menu allowing you to choose whether you want to create the case from scratch, use data from CAPRI and UFA or use data from ASPEN.

- ◆ Click on **CAPRI** to display a listing of all CR's currently in CAPRI. Select the desired CR by either double clicking on the selection or highlighting the selection and then clicking **OK**.



-or-

- ◆ Click on **ASPEN** to display a listing of all inspections currently in ASPEN. Select the desired inspection by either double clicking on the selection or highlighting the selection and then clicking **OK**.

-or-

- ◆ Click on **Create** to begin a case from scratch.

Hint: The order in which CR's and Inspections are sorted can be changed by clicking on the different column headings. For example, to sort CR's by the date of the CR, click on the column heading labeled Date. A check mark next to the column heading label indicates that the listing is sorted by that field.

After you have chosen to begin your case from a CAPRI CR, from an ASPEN inspection or to create the case from scratch the **Subject Type** screen will be displayed.

The screenshot shows a window titled "Subject" with a tab labeled "Type". It contains two main sections: "Type" and "Country". The "Type" section has five radio button options: "Carrier/ Shipper" (selected), "Individual", "Cargo Tank Facility", "Carrier/ Shipper & Cargo Tank Facility", and "Other". The "Country" section has three radio button options: "U.S." (selected), "Mexico", and "Canada". Below these are two more sets of radio buttons: "Federal" and "State" (both unselected), and "Non - PRISM" and "PRISM" (both unselected). At the bottom are three buttons: "OK" (with a green checkmark), "Cancel" (with a red X), and "Help" (with a question mark). Below the window is a label "Empty Case".

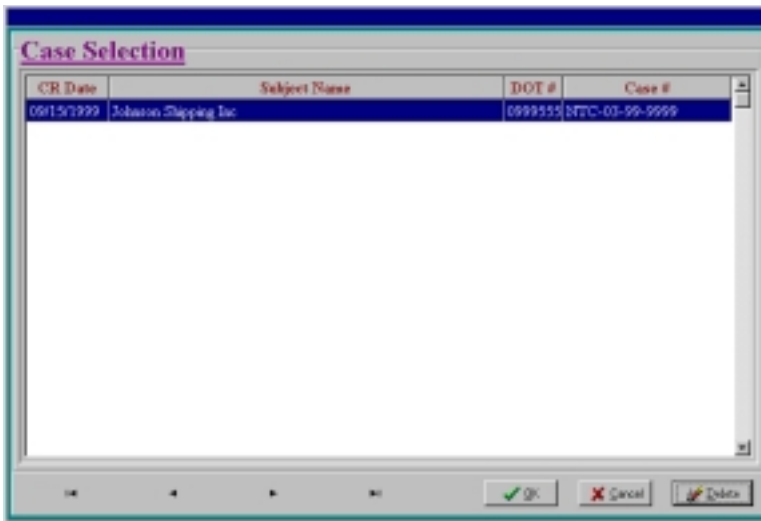
From this screen you make a number of selections describing the case report subject. The selections identify the subject as a Carrier/Shipper, an Individual, a Cargo Tank Manufacturer or Other. They also identify the subject's country of domicile, whether the carrier resides in a State that is part of the PRISM program and whether the violations were discovered as the result of a roadside inspection or a Compliance Review. CaseRite III automatically defaults to the most common selections. Once all selections have been made, clicking on **OK** will display the **Subject** screen.

## Opening an Existing Case

To open a case that was previously started in CaseRite III:

- ◆ Display the initial CaseRite III screen.
- ◆ Select **File** from the top-level menu.
- ◆ Select **Open** displaying a listing of all cases currently in CaseRite III.



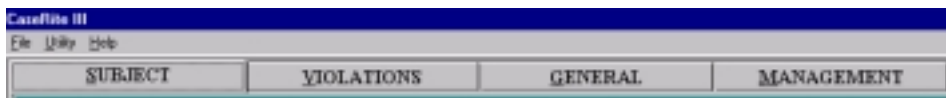


- ◆ Select the desired case by double clicking on the selection  
-or-
- ◆ Highlight the selection and then clicking the **OK** button at the bottom of the screen.

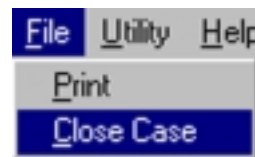
This procedure opens the case and displays the **Subject** screen

## ***Closing a Case***

Cases can only be closed when the **Subject** screen is displayed. To close a case



- ◆ Click the **Subject Tab**.
- ◆ Click **File**.
- ◆ Click **Close Case**.



This will close the case and display the initial CaseRite III Screen.

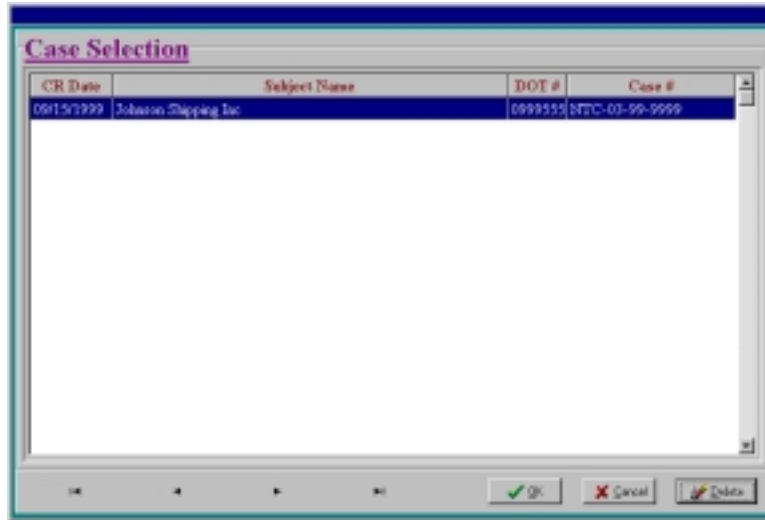
## ***Deleting a Case***

To delete a case from CaseRite III:

- ◆ Display the initial CaseRite III screen.



- ◆ Select **File** from the top-level menu and then select **Open**. This will display a listing of all cases that are currently in CaseRite III.
- ◆ Highlight the case to be deleted.
- ◆ Click the **Delete** button at the bottom of the screen.



The case will be deleted from CaseRite.

# Subject Tab

The **Subject** screen is the first screen displayed after starting a new case or opening an existing case. It contains general information about the subject of the Case Report. If the subject is a motor carrier on which a CR was conducted using CAPRI, or on which a driver/vehicle inspection was conducted using ASPEN, the fields on this screen are populated with the data from these systems. Additionally if the subject is a driver, who is associated with a motor carrier on which CAPRI was used, CaseRite III will populate the associated carrier fields with this data. If CAPRI or ASPEN were not used to perform a CR or vehicle inspection the user may enter the data required on the **Subject** screen directly into the appropriate fields.

The screenshot shows the 'CaseRite III' application window with the 'SUBJECT' tab selected. The form is divided into several sections: 'Carrier/Shipper', 'Claim Recipient', 'Investigator', and 'Additional Review Locations'. The 'Carrier/Shipper' section includes fields for Subject Name, DBA Name, Mailing Address, Extra Address, City, State/Zip Code, Case Number, DOT Number, Tax ID Number, Review Location (City/State), and Organizational Structure. The 'Claim Recipient' section includes Name & Title, Salutation, and Last Name. The 'Investigator' section includes Name and ID. The 'Additional Review Locations' section includes three rows for Location #1, #2, and #3, each with a City/State field. The bottom of the window shows the Case Number 'NTC-03-99-9999' and the Subject Name 'Johnson Shipping Inc'.

| Carrier/Shipper              |                      |
|------------------------------|----------------------|
| Subject Name                 | Johnson Shipping Inc |
| DBA Name                     |                      |
| Mailing Address              | 832 Middlebrook Pike |
| Extra Address                |                      |
| City                         | Knoxville            |
| State/ Zip Code              | TN                   |
| Case Number                  | NTC-03-99-9999       |
| DOT Number                   | 0999555              |
| Tax ID Number                | 987654321            |
| Review Location (City,State) | Knoxville, TN        |
| Organizational Structure     | Corporation          |

| Claim Recipient |                            |
|-----------------|----------------------------|
| Name & Title    | John A. Johnson, President |
| Salutation      | Mr.                        |
| Last Name       | Johnson                    |

| Investigator |        |
|--------------|--------|
| Name         | Brown  |
| ID           | US0999 |

| Additional Review Locations |  |
|-----------------------------|--|
| Location #1                 |  |
| Location #2                 |  |
| Location #3                 |  |

NTC-03-99-9999 Johnson Shipping Inc

Note that CAPRI and ASPEN store all alpha characters as upper case. When imported, CaseRite III uses intelligent software to translate this data into upper and lower case characters in order to generate the Notice of Claim. There are, however some situations when the software may not assign the proper case to all letters within a name or address. Therefore the user must insure that all alphanumeric data displayed on the **Subject** screen is properly cased prior to printing the Notice of Claim.

Claim Recipient

|                         |                            |
|-------------------------|----------------------------|
| <b>Name &amp; Title</b> | John A. Johnson, President |
| <b>Salutation</b>       | <b>Last Name</b>           |
|                         | Johnson                    |

The person to whom the notice of claim is being addressed is entered in the lower left corner of the **Subject** screen. If this case was initiated from CAPRI the field labeled **Name & Title** will be populated with a drop down list of persons interviewed during the compliance review. If the notice of claim is to be addressed to one of these individuals, select that individual from the list and CaseRite will automatically populate the field labeled **Last Name** with this individual's last name. If the notice of claim is to be addressed to someone not on the drop down list you can type the addressee's name and title directly into the field labeled **Name & Title**. The field labeled **Salutation** is a drop down box that contains several common salutations. You may select one of these or type one directly into this field.

# Violations Tab

Information related to the violations documented in the case report is displayed on the **Violations** screen. To display this screen click on the Tab labeled **Violations**. The information on all violations selected for enforcement in UFA is automatically displayed on **Violations** screen. The information related to these violations can be edited, additional violations can be added or violations can be deleted.

| Primary     | Secondary | Charge Total | # | Violator   | Date       |
|-------------|-----------|--------------|---|------------|------------|
| 382.103(b)  |           | 1,000        | 1 | Lucy Smith | 04/13/2000 |
| 395.3(a)(1) |           | 2,780        | 2 | John Smith | 05/30/2000 |

UFA Total: \$12,510 Case Total: \$3,780

Category: Non-Record Keeping Medium Discovered: 80 Documented: 4 Fine Amount: 1,390

Description: Requiring or permitting driver to drive more than 10 hours.

Abatement Clause: Establish a system to control drivers' hours of service. Do not dispatch drivers who do not have adequate hours available to complete assigned trips legally. Do not allow drivers to exceed the 10, 15, and 60/70 hour limits in accordance with 49 C.F.R. Part 395.

NTC-03-99-9999 Johnson Shipping Inc

## Adding Violations

To add a violation to your case in CaseRite III:

- ◆ Click on the Tab labeled **Violations**.
- ◆ Select **Violations** from the top-level menu and then select **Add Violation** from the drop down menu.

-or -

- ◆ Point the mouse cursor to the violation panel of the screen and click the right mouse button. This will display a popup menu from which you select **Add Violation**.

Violations Charges Help

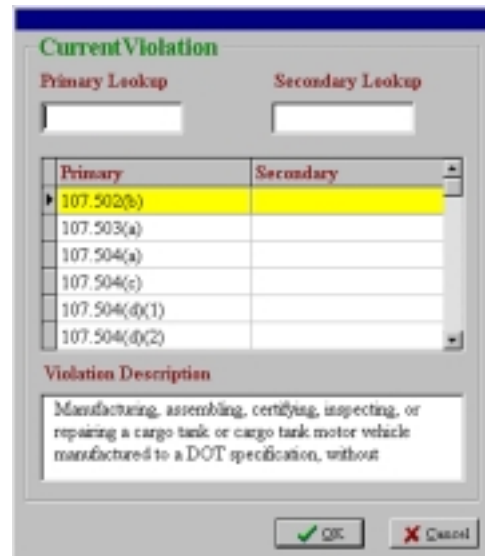
Add Violation

Edit Violation

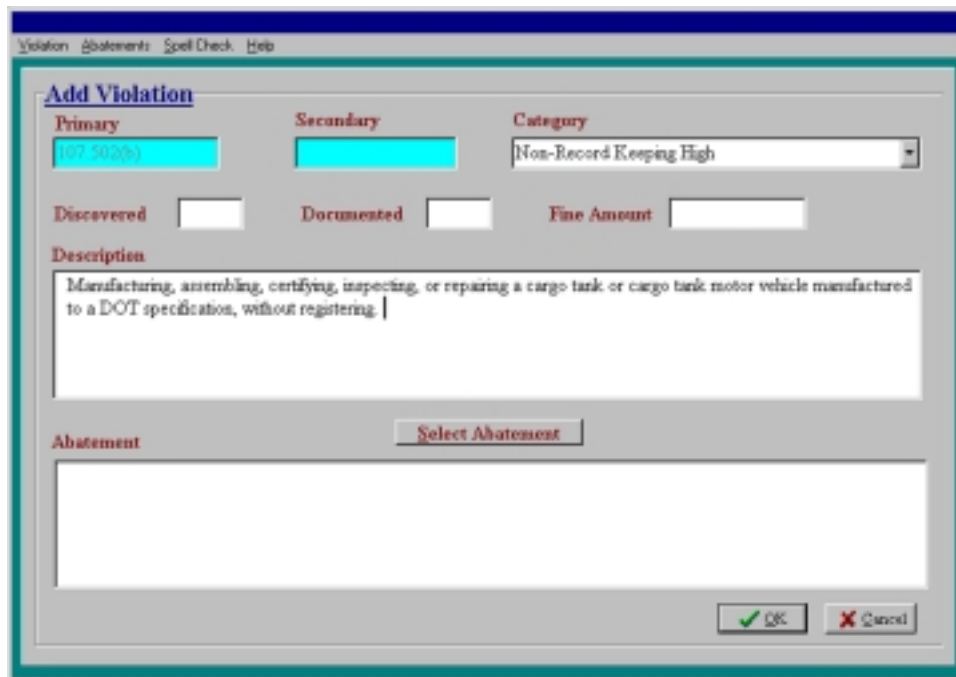
Delete Violation

Select Abatements

- ◆ Select the desired violation from the **Current Violation** dialog box and click **OK**.



The **Current Violation** dialog box features two lookup fields at the top: **Primary Lookup** and **Secondary Lookup**. Below these is a table with two columns: **Primary** and **Secondary**. The **Primary** column contains a list of violation codes: 107.502(b), 107.503(a), 107.504(a), 107.504(c), 107.504(d)(1), and 107.504(d)(2). The **Secondary** column is currently empty. Below the table is a text area labeled **Violation Description** containing the text: "Manufacturing, assembling, certifying, inspecting, or repairing a cargo tank or cargo tank motor vehicle manufactured to a DOT specification, without". At the bottom right are **OK** and **Cancel** buttons.



The **Add Violation** dialog box has a menu bar with **Violation**, **Abatement**, **Spell Check**, and **Help**. It includes three input fields: **Primary** (containing 107.502(b)), **Secondary**, and **Category** (set to Non-Record Keeping High). Below these are three more input fields: **Discovered**, **Documented**, and **Fine Amount**. A large text area labeled **Description** contains the text: "Manufacturing, assembling, certifying, inspecting, or repairing a cargo tank or cargo tank motor vehicle manufactured to a DOT specification, without registering." Below the description is an **Abatement** section with a **Select Abatement** button. At the bottom right are **OK** and **Cancel** buttons.

- ◆ Enter the number of violations discovered, number documented, penalty provision, and the fine amount.
- ◆ Click on the button labeled **Select Abatement**
- ◆ Select the appropriate abatement clause from the Abatement dialog box and click **OK**.

Abatement

**107.502(b)**

Standard Abatements | Custom Abatements

**Standard Abatement Lookup**

107.608

|   | Primary    | Secondary   |
|---|------------|-------------|
| ▶ | 107.608    | 107.620     |
|   | 171.16(a)  |             |
|   | 171.2(a)   |             |
|   | 172.200(a) | 172.202/203 |

**Abatement Text**

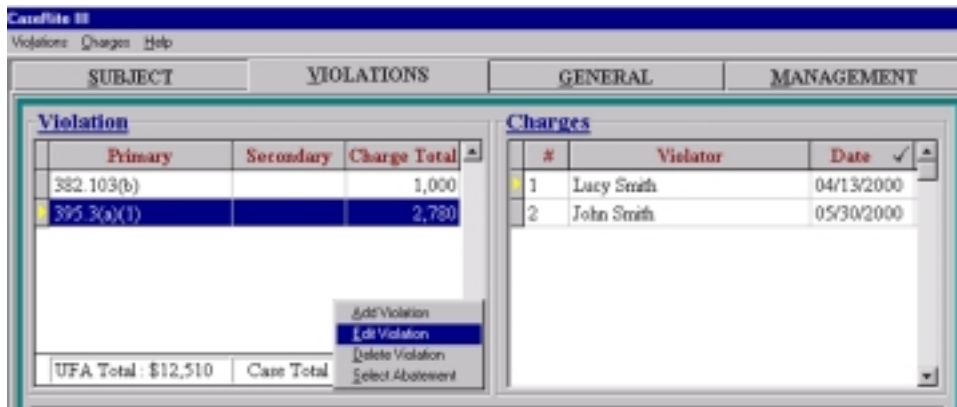
Register with the Research and Special Programs Administration as required by 49 C.F.R. Part 107, Subpart G. Do not offer for transportation and/or transport a quantity of hazardous materials subject to registration requirements unless you have on file a current annual certificate of registration. Ensure that a copy of the registration form is maintained at the company's principal place of business and in all subject transport vehicles.

OK Cancel

## Editing Violations

To edit the information about a violation in CaseRite III:

- ◆ Click on the Tab labeled **Violations**.
- ◆ Select **Violation** from the top-level menu and then select **Edit Violation** from the drop down menu.  
-or -
- ◆ Highlight the violation you wish to edit and double click it.  
-or -
- ◆ Point the mouse cursor to the violation panel of the screen and click the right mouse button. This will display a popup menu from which you select **Edit Violation**.



This procedure will display an edit screen, which allows you to edit violation information including number of violations discovered, number documented, amount of fine, penalty provision, and the abatement clause.

## Deleting Violations

To delete a violation from your case in CaseRite III:



- ◆ Click on the Tab labeled **Violations**.
- ◆ Highlight the violation to be deleted, select **Violations** from the top-level menu and select **Delete Violation** from the drop down menu.

-or-

- ◆ Highlight the violation to be deleted and then click the right mouse button to display a drop down menu and select **Delete Violation**.



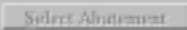
**Delete Violation**

| Primary  | Secondary   | Category                |
|--|---|-------------------------|
| 107.502(b)  |  | Non-Record Keeping High |



Discovered ☐ Documented ☐ Fine Amount

**Description**

Manufacturing, assembling, certifying, inspecting, or repairing a cargo tank or cargo tank motor vehicle manufactured to a DOT specification, without registering.

**Abatement** 

Register with the Research and Special Programs Administration as required by 49 C.F.R. Part 107, Subpart G. Do not offer for transportation and/or transport a quantity of hazardous materials subject to registration requirements unless you have on file a current annual certificate of registration. Ensure that a copy of the registration form is maintained at the company's principal place of business and in all subject transport vehicles.

- ◆ This will display the violation to be deleted. Click the **Delete** button to delete the violation.

# Abatement

Abatement clauses describe specific actions the case report subject must take to prevent future violations. When a specific violation is highlighted in the Violation panel of the **Violations** screen the abatement clause associated with that violation is displayed in the panel of the screen titled Abatement Clause. CaseRite III does not automatically select Abatement clauses. They must be entered by selecting from a list of standard clauses, a list of custom clauses or by entering from scratch.

## Entering Abatements

Abatement clauses may be entered into your case by:

1. Selecting one of CaseRite III's standard abatement clauses.
2. Using a previously created custom abatement clause.
3. Editing an existing abatement clause
4. Creating a new abatement clause from scratch

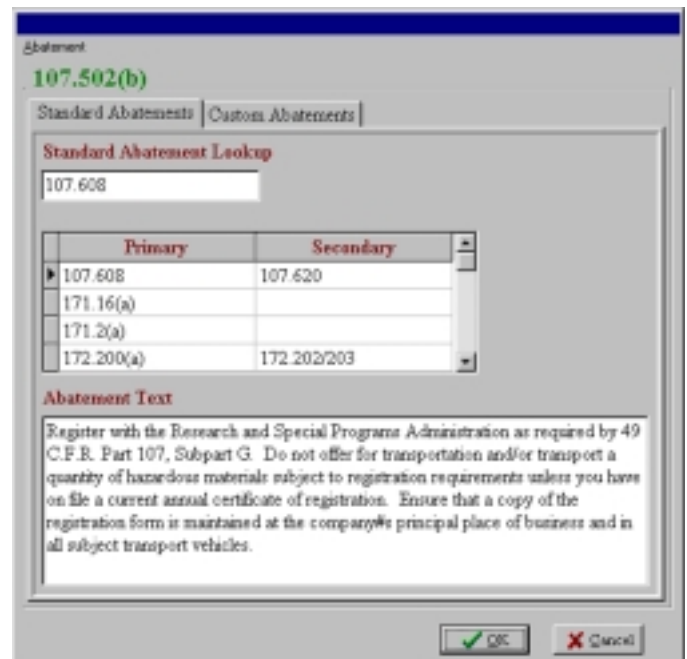
To use one of CaseRite III's standard abatement clauses

- ◆ Click on the Tab labeled **Violations**.
- ◆ Highlight the violation to which the abatement applies.
- ◆ Select **Violation** from the top-level menu and then **Select Abatements** from the drop down menu.



-or -

- ◆ Point the mouse cursor to the violation panel of the screen and click the right mouse button, which will display a popup menu from which you select **Abatements**.
- ◆ This will display a dialog box that allows you to display the list of standard abatement clauses or the list of your previously created custom abatements. CaseRite III defaults to the standard clauses and automatically displays the abatement clause that is most closely associated with the violation



section number.

- ◆ To select this abatement, click the **OK** button.
- ◆ To select a different standard abatement use the scroll bar to highlight your choice or type the desired violation section number in the field labeled Standard Abatement Lookup. When you have located and highlighted the desired abatement click the **OK** button.
- ◆ To select a previously created custom abatement, click the **Custom Abatement** Tab and then select the desired custom abatement by either using the scroll bars or by typing the Custom Abatement Code in the field labeled **Custom Abatement Code Lookup**. When you have located and highlighted the desired abatement click the **OK** button.

The screenshot shows a dialog box titled 'Abatement'. It has two tabs: 'Standard Abatements' and 'Custom Abatements'. The 'Standard Abatements' tab is active, displaying a list of abatements. The first item in the list is '107.502(b)'. Below the list is a 'Custom Abatement Code Lookup' field, which is currently empty. To the right of this field is a table with three columns: 'User Code', 'Primary', and 'Secondary'. Below the table is a 'Custom Abatement Text' field, which is also empty. At the bottom right of the dialog box are 'OK' and 'Cancel' buttons.

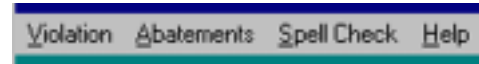
Any of these options will copy the selected abatement clause into the text field labeled Abatement on the **Edit Violation Screen**. If the abatement language is edited from this screen the changes will apply only to the current case. If you wish to create and save a custom abatement see Creating Custom Abatements.

Abatement clauses may also be added or edited directly from the **Edit** or **Add Violations** screen:

- ◆ Click on the Tab labeled **Violations**
- ◆ Highlight the violation to which the abatement applies
- ◆ Display the **Edit Violation** screen



- ◆ Select **Abatements** from the top level menu
- or
- ◆ or click on the button labeled **Select Abatement**.



**Select Abatement**

This will display a dialog box that allows you to display the list of standard abatement clauses or the list of your previously created custom abatements. CaseRite III defaults to the standard clauses and automatically displays the clause that is most closely associated with the violation section number.

- ◆ To select this abatement, click the **OK** button.
- ◆ To select a different standard abatement use the scroll bar to highlight your choice
- or
- ◆ type the desired violation section number in the field directly above the list and then click the **OK** button.

| Primary    | Secondary |
|------------|-----------|
| 180.413    |           |
| 382.115(a) |           |
| 382.201    |           |
| 382.211    |           |

- ◆ To select a previously created custom abatement, click the **Custom Abatement** Tab and then select the desired custom abatement.

Any of these options will copy the selected abatement clause into the text field labeled Abatement on the **Edit Violation Screen**. If the abatement language is edited from this screen the changes will apply only to the current case. Also if you type a new abatement directly into this field it will apply only to the current case. If you wish to create and save a custom abatement see Creating Custom Abatements.

## Creating Custom Abatements

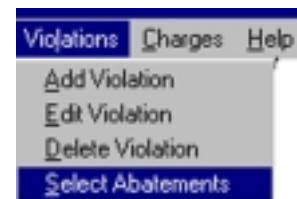
CaseRite III allows you to create and save your own custom abatement clauses. Custom Abatements can be created from scratch or created by editing and saving an existing abatement clause. To create a new custom abatement clause by editing an existing abatement clause:

- ◆ Click on the Tab labeled **Violations**.
- ◆ Select **Violations** from the top-level menu and then select **Select Abatements** from the drop down menu.

-or -

- ◆ Point the mouse cursor to the violation panel of the screen and click the right mouse button, which will display a popup menu from which you select, **Select Abatements**.
- ◆ Highlight the abatement you wish to use as the basis for your new abatement and select **Abatement** from the top-level menu then select **Edit & Save as Custom Abatement** from the drop down menu.

-or-



- ◆ Highlight the abatement you wish to use as the basis for your new abatement and click the right mouse button. This will display a popup menu from which you select **Edit & Save as Custom Abatement**.

Any of these actions will display a new dialog screen. From this screen

- ◆ Edit the abatement clause as desired.
- ◆ Enter a Code in the field labeled Custom Abatement Code a Code to identify your custom abatement
- ◆ Enter the primary and secondary violation numbers in the appropriate fields
- ◆ Click the button labeled **OK**

**New Custom Abatement based on 395.3(a/b)**

Custom Abatement Code:

Custom Abatement Primary:

Custom Abatement Secondary:

Custom Abatement Text:

Establish a system to control drivers' hours of service. Do not dispatch drivers who do not have adequate hours available to complete assigned trips legally. Do not allow drivers to exceed the 10, 15, and 60/70 hour limits in accordance with 49 C.F.R. Part 395.

OK Cancel

To create a custom abatement from scratch:

- ◆ Click on the Tab labeled **Violations**.
- ◆ Select **Violation** from the top-level menu and then select, **Select Abatement** from the drop down menu.  
-or -
- ◆ Point the mouse cursor to the violation panel of the screen and click the right mouse button, which will display a popup menu from which you select, **Select Abatement**.
- ◆ Click on the Tab labeled **Custom Abatements** to display the custom abatement list
- ◆ Select **Abatement** from the top level menu and then select **Create New Custom** from the drop down menu  
-or-

**Abatement**

107,502(b)

Standard Abatements Custom Abatements

Custom Abatement Code Lookup

999.999

| User Code | Primary | Secondary |
|-----------|---------|-----------|
| 999.111   |         |           |
| 999.999   |         |           |

Custom Abatement Text

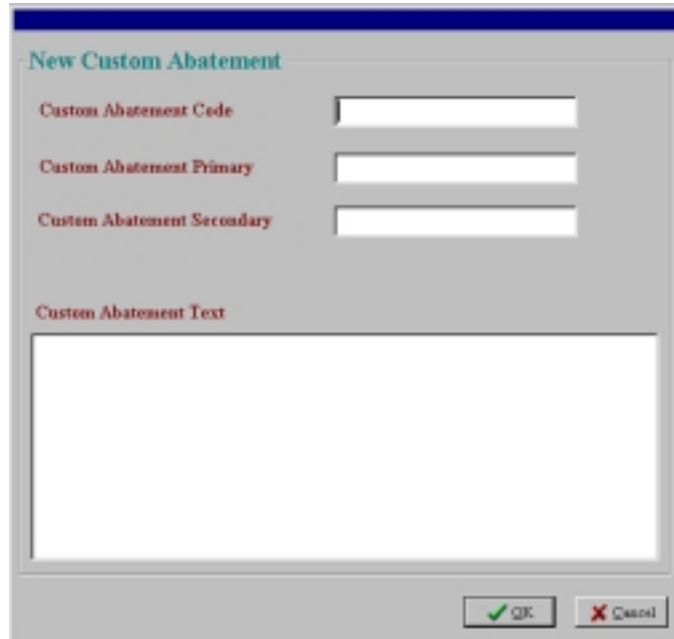
This is a new custom abatement.

OK Cancel

Point the mouse cursor to the part of the screen listing the abatements and click the right mouse button. This will display a popup menu from which you select, **Create New Custom.**

Any of these actions will display a new dialog screen. From this screen

- ◆ Enter the text for the new abatement clause
- ◆ Enter a Code in the field labeled Custom Abatement Code a Code to identify your custom abatement
- ◆ Enter the primary and secondary violation numbers in the appropriate fields
- ◆ Click the button labeled **OK**

A dialog box titled "New Custom Abatement" with a blue header bar. It contains four input fields: "Custom Abatement Code", "Custom Abatement Primary", "Custom Abatement Secondary", and "Custom Abatement Text". The "Custom Abatement Text" field is a larger text area. At the bottom right, there are two buttons: "OK" with a green checkmark icon and "Cancel" with a red X icon.

### ***Editing an Abatement***

To edit an abatement, that has already been selected for a violation:

- ◆ Click on the Tab labeled **Violations.**
- ◆ Select **Violations** from the top-level menu and then select **Edit Violation** from the drop down menu.  
-or -
- ◆ Highlight the violation you wish to edit and double click it.  
-or -
- ◆ Point the mouse cursor to the violation panel of the screen and click the right mouse button. This will display a popup menu from which you select **Edit.**



The above procedure will display an edit screen, which allows you to edit all violation information including the abatement clause.

# Charges

Charges describe specific instances of a violation of a particular regulation. When a specific violation is highlighted in the violation panel of the Violations screen the charges related to that violation are displayed in the Charges panel of the Violations screen. Charges can be added, edited, copied or deleted.

Hint: The order in which charges are sorted can be changed by clicking on the different column headings. For example, to sort charges by the name of the violator, click on the column heading labeled Violator. A check mark next to the column heading label indicates that the listing is sorted by that field. The Statement of Charges is always printed in chronological order regardless of how the charges are displayed on this screen.

The screenshot shows the CaseFile III Violations screen. The interface has a menu bar with 'Violations', 'Charges', and 'Help'. Below the menu bar are four tabs: 'SUBJECT', 'VIOLATIONS', 'GENERAL', and 'MANAGEMENT'. The 'VIOLATIONS' tab is active. The screen is divided into two main panels: 'Violation' on the left and 'Charges' on the right. The 'Violation' panel contains a table with columns 'Primary', 'Secondary', and 'Charge Total'. It lists two violations: '382.103(b)' with a charge total of 1,000 and '395.3(a)(1)' with a charge total of 2,780. Below the table, it shows 'UFA Total: \$12,510' and 'Case Total: \$3,780'. The 'Charges' panel contains a table with columns '#', 'Violator', and 'Date'. It lists two charges: '1 Lucy Smith 04/13/2000' and '2 John Smith 05/30/2000'. Below the table, there are buttons for 'Add Charge', 'Edit Charge', 'Copy Charge', and 'Delete Charge'. At the bottom of the screen, there is a section for 'Category', 'Description', and 'Abatement Clause'. The 'Category' is 'Non-Record Keeping Medium', 'Discovered' is '80', 'Documented' is '4', and 'Fine Amount' is '1,390'. The 'Description' is 'Requiring or permitting driver to drive more than 10 hours.' The 'Abatement Clause' is 'Establish a system to control drivers' hours of service. Do not dispatch drivers who do not have adequate hours available to complete assigned trips legally. Do not allow drivers to exceed the 10, 15, and 60/70 hour limits in accordance with 49 C.F.R. Part 395.' The bottom of the screen shows 'NTC-03-99-9999' and 'Johnson Shipping Inc'.

| Primary     | Secondary | Charge Total |
|-------------|-----------|--------------|
| 382.103(b)  |           | 1,000        |
| 395.3(a)(1) |           | 2,780        |

| # | Violator   | Date       |
|---|------------|------------|
| 1 | Lucy Smith | 04/13/2000 |
| 2 | John Smith | 05/30/2000 |

| Category                  | Discovered | Documented | Fine Amount |
|---------------------------|------------|------------|-------------|
| Non-Record Keeping Medium | 80         | 4          | 1,390       |

**Description**  
Requiring or permitting driver to drive more than 10 hours.

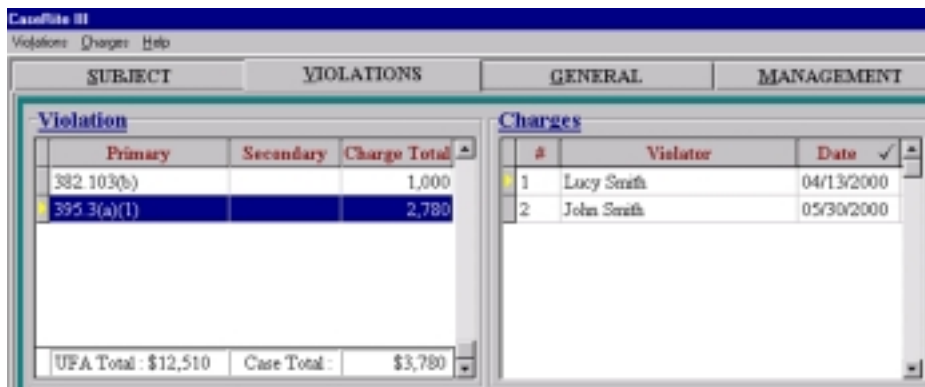
**Abatement Clause**  
Establish a system to control drivers' hours of service. Do not dispatch drivers who do not have adequate hours available to complete assigned trips legally. Do not allow drivers to exceed the 10, 15, and 60/70 hour limits in accordance with 49 C.F.R. Part 395.

NTC-03-99-9999 Johnson Shipping Inc

## Adding Charges

To add a charge to your case in CaseRite III:

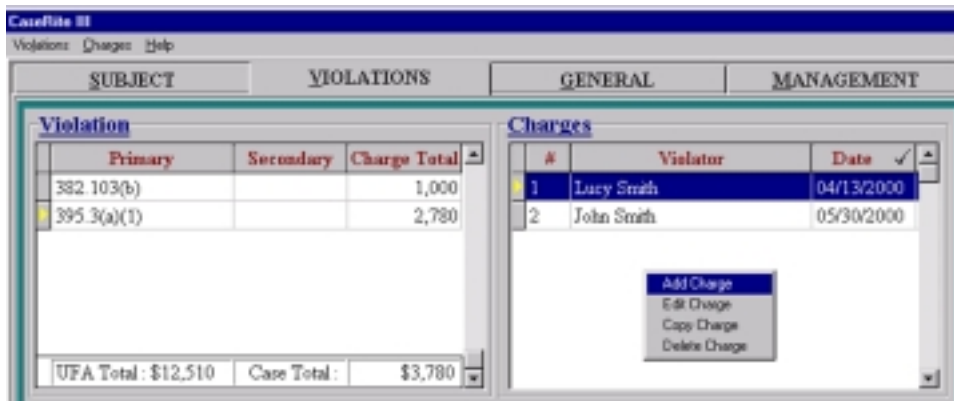
- ◆ Click on the Tab labeled **Violations**.



- ◆ Highlight the violation to which the charge applies by clicking it with the left mouse button. This will highlight the violation section number in blue and also identify it with a yellow arrow to the immediate left. It will also cause all charges associated with this violation to be displayed in the **Charge panel** of this screen.
- ◆ Select Charge from the top-level menu and then select Add from the drop down menu.

-or -

Point the mouse cursor to the charge panel of the screen and click the right mouse button. This will display a popup menu from which you select **Add**.



The above procedure will display the **Add Charge** screen. On this screen you enter the date of the violation, the name of the violator, the charge introduction

and the supporting documents. The charge introduction is a short paragraph outlining the essentials of the charge and is printed in the Statement of Charges and on the numbered exhibit abstract. The charge introduction can be typed directly into the text field labeled **Charge Introduction** or can be entered using one of CaseRite III 's standard charge introduction templates. The information entered into the **Supporting Documents** text field describes the evidence used to support the charge and is only printed on the numbered exhibit abstract.

After entering all information click **OK** to move back to the Violation screen.

## Charge Template

CaseRite III contains a number of standard templates to automatically generate the charge introduction for the most common violations. To use a standard charge introduction template while adding charges:

- ◆ Click the Tab labeled, **Violations**.

| Primary     | Secondary | Charge Total |
|-------------|-----------|--------------|
| 382.103(b)  |           | 1,000        |
| 395.3(a)(1) |           | 2,780        |

UFA Total: \$12,510    Case Total: \$3,780

| # | Violator   | Date       |
|---|------------|------------|
| 1 | Lucy Smith | 04/13/2000 |
| 2 | John Smith | 05/30/2000 |

- ◆ Highlight the violation to which the charge applies by clicking it with the left mouse button. This will highlight the violation section number in blue and also identify it with a yellow arrow to the immediate left. It will also cause all charges associated with this violation to be displayed in the Charge panel of this screen.
- ◆ Select Charge from the top-level menu and then select Add from the drop down menu.

-or -

Point the mouse cursor to the charge panel of the screen and click the right mouse button. This will display a popup menu from which you select **Add**.

The above procedure will display the **Add Charge** screen

- ◆ Enter the date of the violation and the name of the violator
  - ◆ Click on the button labeled Charge Template
- or
- select Violation from the top-level menu, select Charge Introduction from the drop down menu, and Template from the drop down menu. This will display a list of standard charge introductions for the most common violations.

382.215

Standard Charge Introduction Templates

| Primary    | Secondary |
|------------|-----------|
| 382.211    |           |
| 382.211    |           |
| 382.215    |           |
| 382.301(a) |           |
| 382.305    |           |
| 382.305    |           |

Charge Introduction Template

On or about «DATE», «CARRIER» permitted its driver, «DRIVER'S NAME», to perform or continue to perform a safety-sensitive function in that the driver drove a commercial motor vehicle in commerce from «ORIGIN» to «DESTINATION», when the carrier had actual knowledge that the driver had tested positive for controlled substances. The driver tested positive for «SPECIFY DRUG» on «DATE OF POSITIVE RESULT», and the carrier was notified of the positive test results on «DATE OF NOTIFICATION».

Build Template Cancel

- ◆ Highlight the desired charge introduction template.
- ◆ Click the button labeled **Build Template** to display a table of the variables that apply to that specific charge introduction. CaseRite III automatically populates those fields for which it already has data i.e. Carrier Name, Violation Date and Violator.

| DESCRIPTION             | TEXT                 |
|-------------------------|----------------------|
| DATE                    | 04/27/2000           |
| CARRIER                 | Johnson Shipping Inc |
| DRIVER'S NAME           | John Cash            |
| ORIGIN                  | Denver, CO           |
| DESTINATION             | Cheyenne, WY         |
| SPECIFY DRUG            | cocaine              |
| DATE OF POSITIVE RESULT | 04/02/00             |
| DATE OF NOTIFICATION    | 04/03/00             |

On or about 04/27/2000, Johnson Shipping Inc permitted its driver, John Cash, to perform or continue to perform a safety-sensitive function in that the driver drove a commercial motor vehicle in commerce from Denver, CO to Cheyenne, WY, when the carrier had actual knowledge that the driver had tested positive for controlled substances. The driver tested positive for cocaine on 04/02/00, and the carrier was notified of the positive test results on 04/03/00.

OK Cancel

- ◆ Enter data into the other fields in the table and click OK.

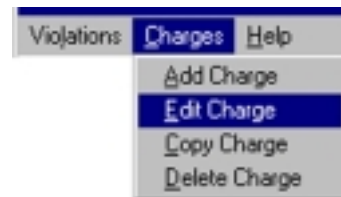
This procedure will generate a standard charge introduction and copy it to the Charge Introduction text field where it may be further edited if desired.

Note: When the list of standard charge introductions is accessed, CaseRite III automatically moves the cursor to the charge introduction with the violation section number that is closest to the actual violation. This may not, however always be the charge introduction that is desired. The user must therefore insure that the proper charge introduction is being selected.

## ***Editing Charges***

To edit a charge in CaseRite III:

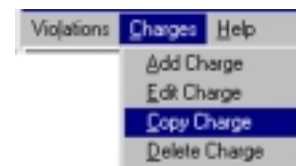
- ◆ Click on the Tab labeled **Violations**.
- ◆ Highlight the violation to which the charge applies by clicking it with the left mouse button. This will highlight the violation section number in blue and also identify it with a yellow arrow to the immediate left. It will also cause all charges associated with this violation to be displayed in the Charge panel of this screen.
- ◆ Highlight the charge you wish to edit.
- ◆ Select **Charges** from the top-level menu and select **Edit Charge** from the drop down menu.
  - Or -
- ◆ Double click the charge you wish to edit.
  - Or -
- ◆ Click the right mouse button and select **Edit** from the popup menu.
- ◆ Edit the charge information on the **Edit Charge** screen.



## ***Copying Charges***

To copy a charge already in your case in CaseRite III:

- ◆ Click the Tab labeled **Violations**.
- ◆ Highlight the violation to which the charge applies by clicking it with the left mouse button. This will highlight the violation section number in blue and also identify it with a yellow arrow to the immediate left. It will also cause all charges associated with this violation to be displayed in the Charge panel of this screen.
- ◆ Select **Charges** from the top-level menu and select **Copy Charge** from the drop down menu.
  - or-
- ◆ Move the mouse cursor to the Charges panel and click the right mouse button to display a popup menu and select **Copy**.



- ◆ Enter the number of the charge to be copied in the Copy Charge dialog box and click **OK**.

This procedure will make an exact copy of the charge and add it to the bottom of the list of Charges. The copied charge can then be edited as necessary using the edit charge function of CaseRite III.

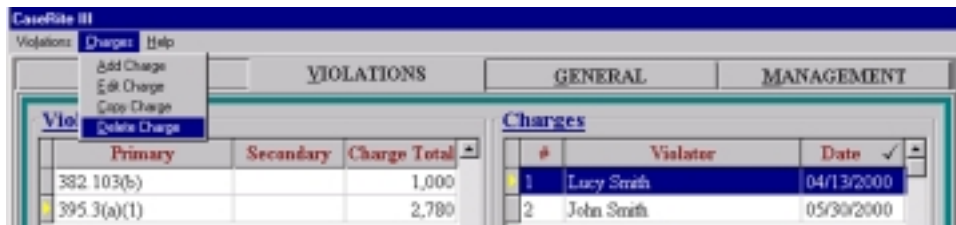


Note: When using Copy Charge to create similar charges introductions, be sure to edit not only the charge introduction information but also the Date and Violator fields.

## ***Deleting Charges***

To delete a charge from your case in CaseRite III:

- ◆ Click on the Tab labeled **Violations**.
- ◆ Highlight the charge to be deleted, select **Charges** from the top-level menu and select **Delete Charge** from the drop down menu.
- or-
- ◆ Highlight the Charge to be deleted and then click the right mouse button to display a drop down menu and select **Delete Charge**.



- ◆ This will display the charge to be deleted. Click the **Delete** button to delete the charge.

# General Tab

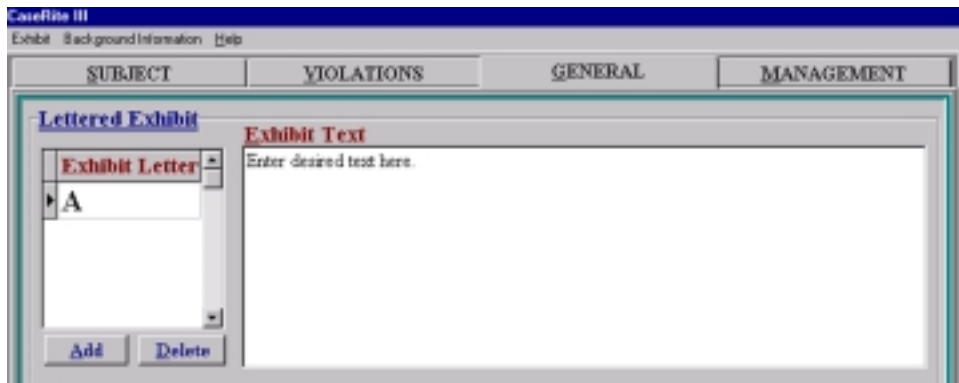
## *Lettered Exhibits*

To create a lettered exhibit:

- ◆ Click the Tab labeled **General**.



- ◆ Click the button labeled **Add** in the Exhibit Letter panel.

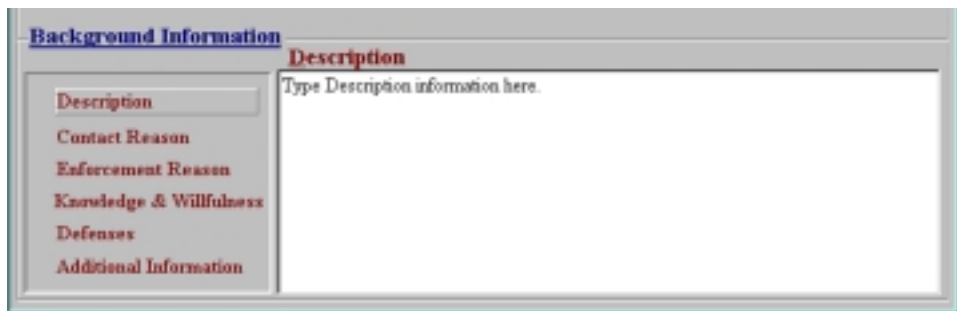


- ◆ Enter a letter identifying the exhibit.
- ◆ Move the cursor to the **Exhibit text** field and enter the desired text.

## ***Background Information***

The background information is the narrative portion of the Case Report and includes such topics as Description of the Subject, Reason for Contact, Knowledge and Willfulness, etc. To enter the Case Report background information

- ◆ Click the Tab labeled **General** to display the **General Tab screen**.
- ◆ The bottom portion of this screen is titled **Background Information**. Below this title are the six topical headings normally included in the case report narrative. To enter text under a topical heading, first move the cursor over the desired heading. A button will appear around the heading label. Clicking on this button will change the title of the text box to the topical heading selected.
- ◆ Enter the information applicable to this heading into the text field.



The screenshot shows a software interface titled "Background Information". On the left side, there is a vertical list of six headings: "Description", "Contact Reason", "Enforcement Reason", "Knowledge & Willfulness", "Defenses", and "Additional Information". Each heading is preceded by a small button. The "Description" heading is currently selected, and its corresponding button is highlighted. To the right of this list is a large text input area. The title of this text area is "Description" in red text, and it contains the placeholder text "Type Description information here." in a smaller font.

- ◆ Repeat the preceding directions for other headings.

# Management Tab

## Tracking Dates

The various tracking dates contained on the **Management** screen are defined as follows.

The screenshot shows the 'CaseFile III' application window with the 'MANAGEMENT' tab selected. The 'Management Review' section includes fields for 'Reviewer Name' (Mark Johnson), 'Reviewer Title' (DPS), and 'Date of Review' (06/04/2000). Below these are three columns: 'Reviewer Comments', 'Investigator Notes', and 'Part C Comments'. The 'Tracking Dates' section contains several dropdown menus: 'Assigned', 'Commenced', 'CR/ Inspection Completed' (03/30/2000), 'Investigation Completed', 'Report Completed', and 'Sent to SC'. The bottom status bar shows 'NTC-03-99-9999' and 'Johnson Shipping Inc'.

**Date of Review** indicates the date the case report was reviewed by reviewing official

**Assigned** indicates the date a case is entered on the complaint register or, if not assigned by management, the date the CR commences.

**Commenced** indicates the date the safety specialist began the investigation. Use the earliest date of case initiation (i.e. file review, interviews, compliance review, complaint investigation, etc.).

**CR/Inspection** indicates the date the compliance review or driver vehicle inspection was complete. This date will be imported from CAPRI or ASPEN if either of these programs was used in the preparation of the case.

**Investigation Complete** indicates the last day of the enforcement investigation (i.e. all evidence and statements have been collected).

**Report Complete** indicates the date the case report is prepared by the safety specialist for **final** submission to the State Director.

**Sent to SC** indicates the date the case report was sent to the Service Center

## ***Comments/Notes***

The **Management Tab** is further sub divided with three additional sub tabs, one titled **Reviewer Comments**, one titled **Investigator Notes** and the third titled **Part C Comments**. The field labeled Part C Comments is populated with the text that was entered into the Part C of the Compliance Review. To view or enter information in any of these categories you select the appropriate tab and then type directly into the text field.Text\_Fields If desired, selected text from the Part Compliance text could be copied to the continuation page of the Case Report using the windows copy and paste feature.

| Reviewer Comments | Investigator Notes | Part C Comments |
|-------------------|--------------------|-----------------|
|                   |                    |                 |

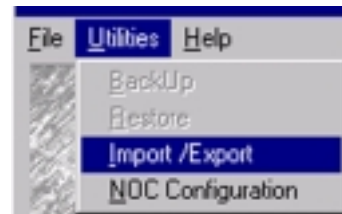
# Utilities

## Exporting Cases

CaseRite III has the ability to export cases created on one computer and import them into another. CaseRite III creates an **export file** containing a single case or multiple cases. This export file can be saved to disk or automatically attached to an e-mail message and sent to someone else.

To export cases from CaseRite III

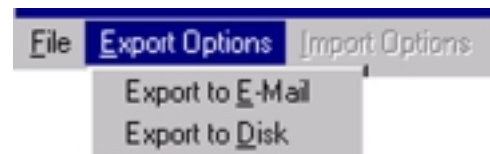
- ◆ Display the initial CaseRite III screen
- ◆ Select **Utilities** from the top level menu
- ◆ Select **Import/Export** from the drop down menu



- ◆ Select the Tab labeled **Export** to display a listing of all cases currently in CaseRite III.
- ◆ Select the case or cases to be exported by checking the small box to the left of each case subject you wish to include in the export file.



- ◆ Select **Export Options** from the top-level menu. This will display a drop down menu giving you the option to either attach the export file to an e-mail message or to save it to a specific disk location.



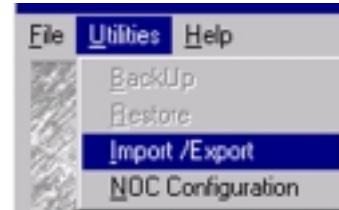
- ◆ If you selected **Export to Disk** you will be prompted for the drive and folder location to which the file is to be saved.
- ◆ If you selected **Export to E-mail** CaseRite III will automatically start GroupWise and attach the export file to an e-mail message.
- ◆ To exit the **import/export** screen, click **file** from the top-level menu and select **exit**.

Note: When a case or cases are exported CaseRite III automatically zips all necessary files into a single zip file and assigns the file a unique name. This file name is a unique string of 14 characters that always begins with ENF.

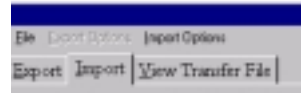
## Importing Cases

Importing Cases into CaseRite III is a two-step process. First the export file must be moved to the CaseRite III import directory and then the cases contained in the export file are imported into CaseRite III.

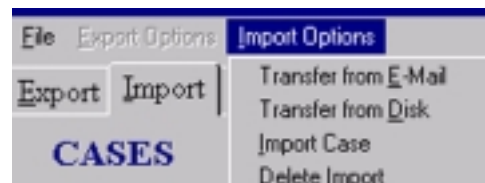
- ◆ To transfer cases into the CaseRite III import folder
- ◆ Display the initial CaseRite III screen
- ◆ Select **Utilities** from the top level menu



- ◆ Click on the Tab labeled **Import**



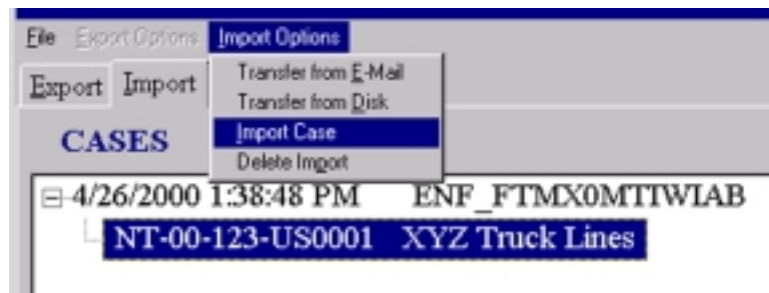
- ◆ Select **Import Options** from the top-level menu. This will display a drop down menu.
- ◆ To transfer the export file into the CaseRite import folder from disk, select **Transfer from Disk**. You will then be prompted to enter the drive and folder where the file is located.
- ◆ To transfer the export file into the CaseRite import folder directly from an e-mail message, first make sure the e-mail message is open then select **Transfer from e-mail**



Export files that have been moved into the CaseRite III import directory, but have not yet been imported into the system, are displayed when the **Import** Tab is selected. You may view the Cases contained in these export files by clicking the small box to the left of the file name. To import cases into CaseRite III from the import folder:

- ◆ Select the file to be imported into CaseRite III by highlighting it.

- ◆ Select **Import Options** from the top-level menu. This will display a drop down menu.



- ◆ Select **Import Case**

After you have imported the case(s) into CaseRite III the export file will be automatically deleted from the import directory.

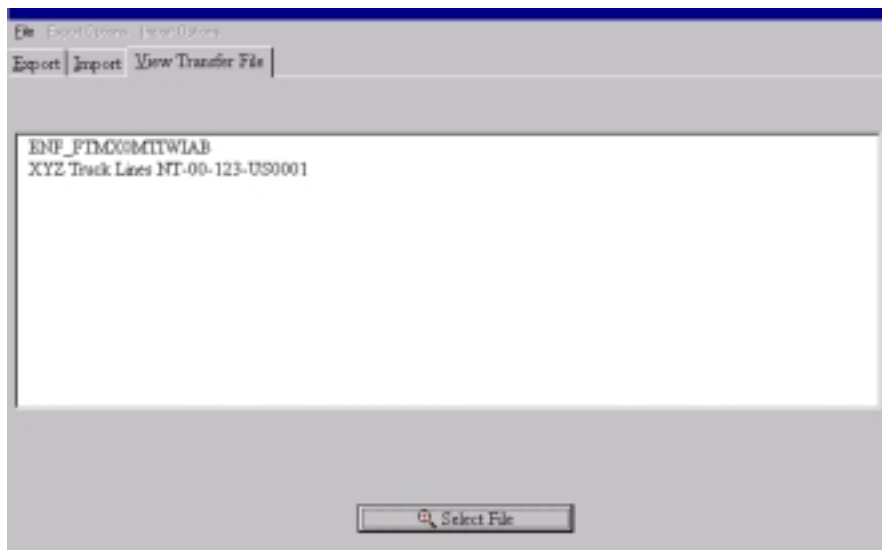
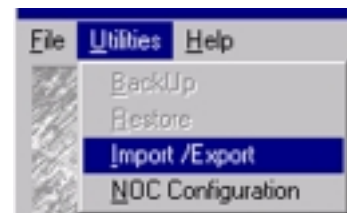
To delete an export file from CaseRite:

- ◆ Highlight the file to be deleted.
- ◆ Select **Import Options** from the top-level menu to display a drop down menu
- ◆ Select **Delete**

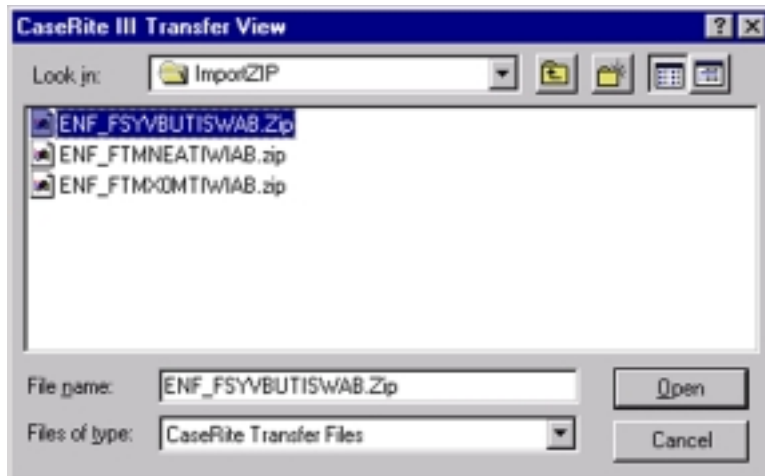
## ***View Transfer File***

CaseRite III allows you to view the contents of a zipped export file prior to moving the file to the import directory. To view the contents of a zipped export file that is not located in the CaseRite import directory:

- ◆ Display the initial CaseRite III screen
- ◆ Select **Utilities** from the top level menu
- ◆ Select **Import/Export** from the drop down menu
- ◆ Select the Tab labeled **View Transfer File**



- ◆ Click the button labeled **Select File** to display the file location dialog box
- ◆ Pick the drive and folder where the file is located

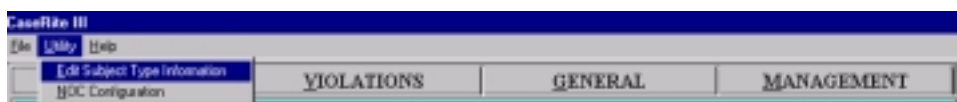


- ◆ Highlight the file to be viewed, click the button labeled **Open** and the cases contained in the zipped file will be displayed

## Edit Subject Type Information

To make changes on the **Subject Type** screen after a case has already been opened:

- ◆ Select **File** from the top level menu
- ◆ Select **Edit Subject Type Information** from drop down menu to display the **Subject type** screen
- ◆ Make appropriate changes
- ◆ Click on the OK button

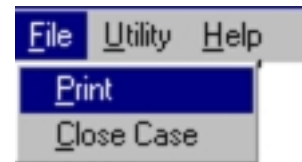


# Printing

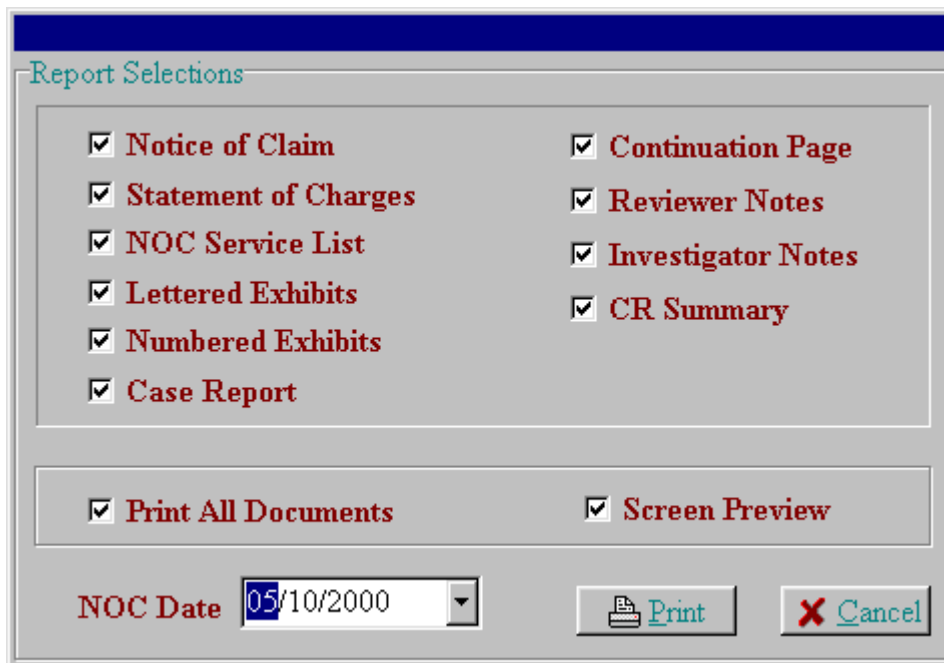
## *Print Case Documents*

To print the various case documents:

- ◆ Click the Tab labeled **Subject**.
- ◆ Select **File** from the top-level menu.
- ◆ Select **Print** from the drop down menu, displaying the print dialog screen.



- ◆ From the Print Dialog screen select the documents you wish to print by checking the box next to document labels.

A screenshot of a 'Report Selections' dialog box. It has a title bar and a main area with a list of documents, each with a checked checkbox. The documents are: Notice of Claim, Statement of Charges, NOC Service List, Lettered Exhibits, Numbered Exhibits, Case Report, Continuation Page, Reviewer Notes, Investigator Notes, and CR Summary. Below the list are two more checkboxes: 'Print All Documents' and 'Screen Preview', both checked. At the bottom, there is a field for 'NOC Date' with the value '05/10/2000' and a dropdown arrow. To the right of the date field are two buttons: 'Print' (with a printer icon) and 'Cancel' (with a red X icon).

- ◆ Enter the date you wish to appear on the NOC in the field labeled **NOC Date**
- ◆ If you wish to preview the printed document prior to printing, check the box labeled **Screen Preview**.
- ◆ Click the button labeled **Print**.

To print only selected exhibits:

- ◆ From the Print Dialog screen check only the box labeled Numbered Exhibits
- ◆ When the print dialog box is displayed you may choose to print all pages, the current page, a specific page number or a range of pages.

## Spell Checking

All text fields in CaseRite III include spell checking and a limited number of other word processing features. To access these features move the cursor to the desired text field and click the right mouse button to display the menu.

Additionally the current text field can be spell checked at any time by pressing the F7 key.

